

**TRANSMITTAL LETTER TO THE UNITED STATES  
DESIGNATED/ELECTED OFFICE (DO/EO/US)  
CONCERNING A SUBMISSION UNDER 35 U.S.C. 371**

101215-169

U.S. APPLICATION NO. (If known, see 37 CFR 1.5)

10/511570

INTERNATIONAL APPLICATION NO.  
**PCT/EP03/03701**

INTERNATIONAL FILING DATE  
**9 April 2003**

PRIORITY DATE CLAIMED  
**12 April 2002**

TITLE OF INVENTION

**Elektromechanischer Energiewandler**

APPLICANT(S) FOR DO/EO/US

**REIN, Claus; WALTER, Steffen; GEORGI, Michael; HOPF, Peter**

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a submission under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a submission under 35 U.S.C. 371.
3. ☐ This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (24) indicated below.
4. ☐ The US has been elected (Article 31).
5. ☒ A copy of the International Application as filed (35 U.S.C. 371 (c) (2))
  - a. ☐ is attached hereto (required only if not communicated by the International Bureau).
  - b. ☒ has been communicated by the International Bureau.
  - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☐ An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)).
  - a. ☐ is attached hereto.
  - b. ☐ has been previously submitted under 35 U.S.C. 154(d)(4).
7. ☐ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371 (c)(3))
  - a. ☐ are attached hereto (required only if not communicated by the International Bureau).
  - b. ☐ have been communicated by the International Bureau.
  - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
  - d. ☐ have not been made and will not be made.
8. ☐ An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9. ☐ An oath or declaration of the inventor(s) (35 U.S.C. 371 (c)(4)).
10. ☐ An English language translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371 (c)(5)).
11. ☐ A copy of the International Preliminary Examination Report (PCT/IPEA/409).
12. ☒ A copy of the International Search Report (PCT/ISA/210).

**Items 13 to 23 below concern document(s) or information included:**

13. ☒ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
14. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
15. ☐ A **FIRST** preliminary amendment.
16. ☐ A **SECOND** or **SUBSEQUENT** preliminary amendment.
17. ☐ A substitute specification.
18. ☐ A power of attorney and/or change of address letter.
19. ☐ A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 37 CFR 1.821 - 1.825.
20. ☒ A second copy of the published International Application under 35 U.S.C. 154(d)(4).
21. ☐ A second copy of the English language translation of the International Application under 35 U.S.C. 154(d)(4).
22. ☒ Express Mail Label No. **ER 793424525US**
23. ☒ Other items or information:

**PTO 1449 form and Seven references, Applicant Data Sheet, Return Receipt postcard**

U.S. APPLICATION NO. (if known, see 37 CFR 1.5) **107511570**INTERNATIONAL APPLICATION NO.  
**PCT/EP03/03701**ATTORNEY'S DOCKET NUMBER  
**101215-169**

24. The following fees are submitted:

**BASIC NATIONAL FEE (37 CFR 1.492(a)(1)-(5)) :**

- ☐ Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO and International Search Report not prepared by the EPO or JPO ..... **\$1110.00**
- ☒ International preliminary examination fee (37 CFR 1.482) not paid to USPTO but International Search Report prepared by the EPO or JPO ..... **\$950.00**
- ☐ International preliminary examination fee (37 CFR 1.482) not paid to USPTO but international search fee (37 CFR 1.445(a)(2)) paid to USPTO ..... **\$790.00**
- ☐ International preliminary examination fee (37 CFR 1.482) paid to USPTO but all claims did not satisfy provisions of PCT Article 33(1)-(4) ..... **\$750.00**
- ☐ International preliminary examination fee (37 CFR 1.482) paid to USPTO and all claims satisfied provisions of PCT Article 33(1)-(4) ..... **\$100.00**

**ENTER APPROPRIATE BASIC FEE AMOUNT =**Surcharge of **\$130.00** for furnishing the oath or declaration later than \_\_\_\_\_ months from the earliest claimed priority date (37 CFR 1.492(e)). ☐ 20 ☐ 30**\$950.00****\$0.00**

CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE
Total claims	- 20 =	0	x \$18.00
Independent claims	- 3 =	0	x \$88.00

**\$0.00****\$0.00**Multiple Dependent Claims (check if applicable). ☐**\$0.00****TOTAL OF ABOVE CALCULATIONS =****\$950.00**☒ Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above are reduced by 1/2.**\$475.00****SUBTOTAL =****\$475.00**Processing fee of **\$130.00** for furnishing the English translation later than \_\_\_\_\_ months from the earliest claimed priority date (37 CFR 1.492(f)). ☐ 20 ☐ 30 +**\$0.00****TOTAL NATIONAL FEE =****\$475.00**Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31) (check if applicable). ☐**\$0.00****TOTAL FEES ENCLOSED =****\$475.00**

Amount to be:	\$
refunded	
charged	\$

- a. ☐ A check in the amount of \_\_\_\_\_ to cover the above fees is enclosed.
- b. ☒ Please charge my Deposit Account No. **14-1263** in the amount of **\$475.00** to cover the above fees.
- c. ☒ The Director is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. **14-1263**
- d. ☐ Fees are to be charged to a credit card. **WARNING:** Information on this form may become public. **Credit card information should not be included on this form.** Provide credit card information and authorization on PTO-2038.

**NOTE:** Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the International Application to pending status.

SEND ALL CORRESPONDENCE TO:

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 Norris McLaughlin & Marcus PA  
 875 Third Avenue, 18th Floor  
 New York, NY 10022

CUSTOMER NO. 27387

SIGNATURE

**Bruce S. Londa**

NAME

**33,531**

REGISTRATION NUMBER

**12 October 2004**

DATE

10/511570

DT01 Rec'd PCT/PTC 12 OCT 2004

Docket No.: 101215-169

Inventor(s): Claus REIN, Steffen WALTER, Michael GEORGI and Peter HOPF

Title: Elektromechanischer Energiewandler

I.A. No.: PCT/EP03/03701

**EXPRESS MAIL CERTIFICATE**

"Express Mail" mailing label number ER 793424525 US

Date of Deposit October 12, 2004

I hereby certify that the following items:

1. Transmittal Letter to the United States Designated/Elected Office (DO/EO/US) Concerning a Filing Under 35 USC 371
2. Application Data Sheet (4pages)
3. International Publication (26 pages) – WO 03/033455
4. Drawings (6 sheets, Figs. 1-11)
5. International Search Report
6. PTO Form 1449 and Seven (7) references
7. Return Receipt Postcard

are being deposited with the United States Postal Services "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and is addressed to the: Mail Stop PCT, Attn.: US/RO, Commissioner for Patents, P.O. Box 1450, Alexandria, V.A. 22313-1450.

NORRIS, McLAUGHLIN & MARCUS, P.A.

By Laurie Olds  
Laurie Olds